



Sheet 1 of 2

INFORMATION DISCLOSURE CITATION LIST	Docket No.: 3753/6	Application No.: 09/507,360
	Applicants: David R. Gottstein	
	Filing Date: February 18, 2000	Group Art Unit: 2165 3624

U.S. PATENT DOCUMENTS

Exam. Init.	Document Number	Date	Name	Class	Subclass
AB	5,987,433	11/16/99	Crapo		
	5,978,778	11/2/99	O'Shaughnessy		
	5,893,079	4/6/99	Cwenar		
	5,864,828	1/26/99	Atkins		
	5,852,811	12/22/98	Atkins		
	5,806,049	9/8/98	Petruzzi		
	5,806,048	9/8/98	Kiron et al.		

RECEIVED

APR 16 2001

Group 2100

FOREIGN PATENT DOCUMENTS

Exam. Init.	Document Number	Date	Country	Class	Translation

OTHER DOCUMENTS (including Author, Title, Date, Pertinent Pages, etc.)

AB	Apelfeld et al., "Tax-Aware Equity Investing", Journal of Portfolio Management, v22, n2, p18 (11), Winter 1996
AB	Brunel, Jean L.P., "The Upside-Down World of Tax-Aware Investing", Trusts & Estates, 136, n3, 34 (8), February, 1997

Examiner: AB	Date Considered: 8-20-03
---------------------	---------------------------------



INFORMATION DISCLOSURE CITATION LIST	Docket No.: 3753/6 US	Application No.: 09/507,360
	Applicants: David R. Gottstein	
	Filing Date: February 18, 2000	Group Art Unit: 3624

U.S. PATENT DOCUMENTS

Exam. Init.	Document Number	Date	Name	Class	Subclass
AB	5,802,501	9/1/98	Graff		RECEIVED
	5,761,441	6/2/98	Bennett		APR 16 2001
	5,749,077	5/5/98	Campbell		Group 2100
	5,590,037	12/31/96	Ryan et al.		
	4,739,478	4/19/88	Roberts et al.		
	4,566,066	1/21/86	Towers		

OTHER DOCUMENTS (including Author, Title, Date, Pertinent Pages, etc.)

AB	Price, Lee N., "Maximizing and Reporting a Portfolio's After-Tax Performance", Trusts & Estates, 136, n3, 55 (5), February, 1997
AB	PR Newswire, "Prudential Introduces the Prudential Tax-Managed Equity Fund; Fund Seeks Long-Term After-Tax Growth of Capital", January 27, 1999
AB	Stein, David M., "Measuring and Evaluating Portfolio Performance After Taxes", Journal of Portfolio Management, v24, n2, p117 (8), Winter 1998

Examiner: <i>AB</i>	Date Considered: 8-20-03
----------------------------	---------------------------------